

### IX. Application Forms

Appendix C is a set of three recommended forms for the E-rate application process during the interim period, a separate application, a funding request, and a service-commencement notification, as provided in the E-Rate Ruling (99572-80).<sup>23</sup> These three basic forms can be combined into additional versions for special situations. For example, existing contracts within the FCC's definition and individual takedowns from master contracts would not require posting (see p.6 & n.6, n.14, above), and the necessary information from the application and possibly the notification should be combined into the funding request.

To avoid any need to duplicate unchanged information and to facilitate the linking of related forms, a system of tracking numbers should be established. The applicant would have its own unique number, which it would obtain from SLC before filing its first application, and include in the application form. When SLC notified the applicant of the posting date for its application, it would give the applicant another unique number for the application, which would then be included in any funding request relating to that application. When SLC notified the requester, which might be a different party from the original applicant, that its funding request had been granted, it would give the requester a unique number to be included in any service-commencement notification based on that funding request. Finally, another unique number would be assigned to each service provider and included in the notification.

As recommended earlier in this report (see p.11, above) the application form and funding request for the interim period would substitute a summary description of objectives and a checklist of services for the posting of a detailed description of services. Similarly (see pp.12-13, above), the recommended application form would substitute a certification as to other necessary technology components for the furnishing of an inventory/assessment during the interim period. Finally, as recommended (see pp. 13-19, above), the requester would calculate its own discount rate in its funding request according to the principles that the Working Group recommends, rather than merely submitting the necessary poverty rate(s) in the original application.

At the request of service providers, we have added additional locational information to the recommended application form. Service providers have told members of the Working Group that, since many of them have limited service areas, they need to know the location of the individual schools and/or libraries involved

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<sup>23</sup>If the FCC meant to change the nature of the third form or add a fourth (see n.8, above), we shall make the appropriate modifications.

in aggregate applications. As in other cases, however, such requests must be balanced against the burden that would be imposed on applicants. The information requested could be quite voluminous for some applicants, such as States. Accordingly, if the applicant is an education or library governance entity with a defined geographical jurisdiction and serving all of its schools and/or libraries, such as a school district, library system or State, the applicant's name, type and address should give the necessary information. In all other cases, the application form would require the zip codes of the individual schools and/or libraries. In a data warehouse, however, all such information would be integrated into the application by reference to the identification numbers for all of the individual end users.

Service providers also requested that schools and libraries submit to SLC month-by-month projections of funding needs by individual service in order to ensure that USF support is not being requested for ineligible services. The Working Group believes that the certification on this subject contained in the recommended application form is sufficient for that purpose. Service providers are better able to supply the detailed breakdowns and could do so in their reimbursement applications, to the extent that information is required.

The Working Group has begun drafting detailed instructions for these recommended forms. If the FCC accepts these forms, we would be pleased to complete the instructions and any combination forms that may be appropriate.

# APPENDIX A

## EXAMPLES OF AGGREGATE DISCOUNT-RATE CALCULATIONS FOR CENTRAL BILLING

Example 1: Comparison of Simple, Population-Weighted and Service-Weighted Averages When Services Unevenly Distributed by Population

	Enrollment	Free & Reduced Lunch	Poverty Rate	Cost Category	Discount Rate	Population Weight Factor	Population Weighted Discount Rate	Computers	Service Weight Factor	Service Weighted Discount Rate
Tool 1	1000	950	95%	Urban	90%	0.31	0.28	100	0.29	0.26
Tool 2	750	75	10%	Urban	40%	0.23	0.09	150	0.43	0.17
Tool 3	500	300	60%	Urban	80%	0.15	0.12	50	0.14	0.11
Tool 4	800	400	50%	Rural	80%	0.25	0.20	40	0.11	0.09
Tool 5	200	180	90%	Rural	90%	0.06	0.06	10	0.03	0.03
Total	3250	1905				1.00		350	1.00	
Simple Average					76%					
Population-weighted Average							74%			66%
Service-weighted Average					75%		75%			65%

Example 2: Area-Wide Calculation When Services Evenly Distributed by Population

	Enrollment	Free & Reduced Lunch	Poverty Rate	Cost Category	Discount Rate	Population Weight Factor	Population Weighted Discount Rate
School 1	1000	300	30%	Urban	50%	0.31	0.15
School 2	750	250	33%	Urban	50%	0.23	0.12
School 3	500	200	40%	Urban	60%	0.15	0.09
Cost Sub-total	2250	750	33%	Urban	50%	0.69	0.35
School 4	800	400	50%	Rural	80%	0.25	0.20
School 5	200	100	50%	Rural	80%	0.06	0.05
Cost Sub-total	1000	500	50%	Rural	80%	0.31	0.25
Total	3250	1250	38%			1.00	
Simple Average					64%		
Rounded Simple Average							
Population-Weighted Average							61%
Rounded Population-Weighted Average					65%		60%
Area-wide Rate							60%
Rounded Area-wide Rate							60%

APPENDIX B

Checklist for Approval of New Technology Plans

**Technology plans should include a rational strategy that:**

- a. Describes the applicant's strategy for using information technologies, including the integration of technology into the school curriculum or library services  
yes\_\_ no\_\_
- b. Describes telecommunications and other services eligible for discounts under the USF, and supports the objectives of the technology plan  
yes\_\_ no\_\_
- c. Includes the following for the effective use of eligible services:
  - 1. Hardware yes\_\_ no\_\_
  - 2. Software yes\_\_ no\_\_
  - 3. Staff development yes\_\_ no\_\_
- d. Contains an evaluation process  
yes\_\_ no\_\_
- e. Includes sufficient detail to judge the validity of the request in relation to the strategies described in the technology plan  
yes\_\_ no\_\_

APPENDIX C  
RECOMMENDED APPLICATION FORMS

Schools and Libraries Universal Service Fund  
APPLICATION FOR ELIGIBLE SERVICES  
FCC Form I

BLOCK 1: APPLICANT INFORMATION

1. Name of Applicant \_\_\_\_\_ 2. Applicant Control Number \_\_\_\_\_

3. Type of applicant (check one)

- ☐ State ☐ Library or library consortium  
☐ School district ☐ Consortium of schools, libraries  
and/or other entities  
☐ School ☐ Other (specify) \_\_\_\_\_

4. Complete Mailing Address of Applicant

\_\_\_\_\_  
City State Zip Code

\_\_\_\_\_  
Telephone Number Fax Number E-Mail Address

\_\_\_\_\_  
Website URL (if available)

5. Contact Person's Name \_\_\_\_\_

Mailing Address (if different from above)

\_\_\_\_\_  
City State Zip Code

\_\_\_\_\_  
Telephone Number Fax Number E-Mail Address

6. This form is (check one)    a. ☐ an original submission  
                                     b. ☐ a revised submission (enter  
   application control number  
   for previous submission, if  
   available; otherwise, date)

\_\_\_\_\_ or \_\_\_\_/\_\_\_\_/\_\_\_\_

**BLOCK 2: SERVICES REQUESTED**

7. Please write a short summary description of the objectives sought to be achieved by the services requested.

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8. Please check off the eligible service(s) requested. (Add an additional list for any requested eligible service not included in the checklist.)

Internal connections

Voice network

Number of Nodes

- ☐ 1-20  
☐ 21-50  
☐ 51-100  
☐ 101-250  
☐ 251-500  
☐ greater than 500

Other features

- ☐ Intercom  
☐ 1 way  
☐ 2 way  
☐ Dial in only  
☐ Dial out only  
☐ Other (specify) \_\_\_\_\_



Data/LAN, including Intranet

Speed

- ☐ 10 Mbps or less
- ☐ greater than 10 Mbps

Number of LANs

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Number of Nodes per LAN

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

Number of Facilities/Buildings

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other Features

- ☐ Other (specify) \_\_\_\_\_

Video

Speed

- ☐ less than 56 kbps
- ☐ 56-less than 400 kbps
- ☐ 400-less than 1.6 Mbps
- ☐ 1.6-10 Mbps
- ☐ greater than 10 Mbps

Number of Nodes

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

Number of networks

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other features

- ☐ Dedicated
- ☐ Switched
- ☐ Other (specify) \_\_\_\_\_

External connections

Voice

- ☐ Basic telephone: incoming \_\_\_\_  
outgoing \_\_\_\_  
extension paths \_\_\_\_
- ☐ Usage
- ☐ Toll
- ☐ Custom features
- ☐ Paging
- ☐ Voice mail
- ☐ Other (specify) \_\_\_\_\_

Data

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Other Features

- ☐ Dedicated
- ☐ Switched
- ☐ Other (specify) \_\_\_\_\_

Number of locations

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Video

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Number of locations

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other Features

- ☐ Dedicated
- ☐ Full motion
- ☐ Switched
- ☐ Compressed rate \_\_\_\_\_

Internet Services

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Number of students (potential e-mail addresses)

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

9. ☐ Check if applicant has detailed descriptions of the services requested, such as a Request for Proposals. Applicant will make those documents available upon request.
10. ☐ Check if applicant is subject to any restrictions or requirements on procurement imposed by State or local laws. Applicant will make their details available upon request.
11. Approximate installation date \_\_\_\_/\_\_\_\_/\_\_\_\_

**BLOCK 3: SUPPLEMENTAL INFORMATION**

12. Number of buildings to be served \_\_\_\_\_
13. Number of rooms to be served directly or through internal connections \_\_\_\_\_
14. Approximate number of students enrolled by the schools to and/or persons served by the libraries to receive services under this application \_\_\_\_\_
15. If the applicant is not an education or library governance entity with a defined geographical jurisdiction (for example, a school district or library system) requesting services for all its schools or libraries, list the zip codes of all schools or libraries for which services are requested.

_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

**BLOCK 4: CERTIFICATIONS, SIGNATURE AND SEAL OF NOTARY PUBLIC**

I certify that the applicant that I am representing satisfies all of the requirements below and will abide by all of the relevant requirements with respect to funding provided under 47 USC §254:

16. The applicant is an eligible entity or includes an eligible entity under 47 USC §254(h)(4) because it is requesting services for (check all that apply):
- ☐ A school under the statutory definitions of elementary and secondary schools in the Elementary and Secondary Education Act of 1965, 20 USC §§ 8801(14) and (25), that does not operate as a for-profit business and does not have an endowment exceeding \$50 million.

- ☐ A library eligible for assistance from a State library administrative agency under the Library Services Technology Act of 1996, 20 USC §351(a)(5), that does not operate as a for-profit business, and does not receive funding through an elementary or secondary school, college or university.
- 17. ☐ These services will be used solely for educational purposes and will not be sold, resold or transferred in consideration for money or any other thing of value.
- 18. ☐ (Must check if applicant is applying for services other than basic telephone service.) The applicant recognizes that support under this program is conditional upon the school(s) or library(ies) receiving requested services securing access to all of the resources, including computers, training, software, maintenance, electrical connections and security, necessary to use effectively the services purchased.
- 19. ☐ (Must check if applicant is applying for services other than basic telephone service.) Each school and/or library that will receive eligible services under this application is covered by a technology plan meeting the requirements of paragraphs 573-574 of the FCC's E-Rate Ruling. All such plan(s) have been subject to independent approval in accordance with those paragraphs, and this request for services is consistent with the plan(s). Funds have been budgeted to purchase the telecommunications and information services being ordered. The specific technology plans and their approvers' identities and dates of approval are available in the applicant's work papers.
- 20. ☐ No related services or facilities that are INELIGIBLE for support are included in the services requested.
- 21. ☐ If the applicant is seeking to procure eligible services for multiple users, a list of all prospective users, giving for each, its name, address, contact person, telephone number, E-mail address, and website if any, must be available in work papers for audit. In addition, indicate in these work papers whether each user is eligible for universal service support.

22. ☐ All applicable State and local laws regarding procurement processes have been followed for all eligible services for which support is requested under this application.

I certify that I am authorized to submit this application on behalf of the above-named applicant, that I have examined this application and to the best of my knowledge, information and belief, all statements of fact contained herein are true. I am aware that persons making willful false statements on this form can be punished by fine or imprisonment under Title 18 of the United States Code, 18 USC §1001.

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Signature

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date

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Printed name of authorized person

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Title or position of authorized person

Seal of notary public

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date Commission Expires

Schools & Libraries Universal Service  
Funding Request  
FCC Form II

BLOCK 1: REQUESTER INFORMATION

1. Name of Requester

\_\_\_\_\_

2. Requester Control Number

\_\_\_\_\_

3. Application Control Number

\_\_\_\_\_

4. Complete Mailing Address of Requester (if requester not  
original applicant or otherwise changed from application)

\_\_\_\_\_

City

State

Zip Code

Telephone Number

Fax Number

E-Mail Address

Website URL (if available)

\_\_\_\_\_

5. Contact Person's Name (if different from original application)

Mailing Address (if different from above)

\_\_\_\_\_

City

State

Zip Code

Telephone Number

Fax Number

E-Mail Address

6. This form is (check one): a. ☐ an original submission  
b. ☐ a revised submission (enter previous funding request number) \_\_\_\_\_

7. Purpose of Request

- ☐ discounts on newly contracted services
- ☐ discounts in second or later year of long-term contract
- ☐ pro forma request by applicant for multiple schools and/or libraries that will be billed separately and file their own funding requests
- ☐ separate billing on contract for which pro forma aggregate request previously filed (enter previous funding request number) \_\_\_\_\_
- ☐ disconnect or terminate services

8. Percentage discount for which requester is eligible. The discount must be calculated using the requester's choice of the appropriate methodologies listed in the instructions. The requester certifies that this discount rate has been calculated in accordance with the instructions to this form. These calculations are available in the requester's work papers. The requester is eligible for a discount of \_\_\_ percent.

**BLOCK 2: SERVICES ORDERED**

9. Services Ordered

Internal connections

Voice network

Number of Nodes

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500



Other features

- ☐ Intercom
- ☐ 1 way
- ☐ 2 way
- ☐ Dial in only
- ☐ Dial out only
- ☐ Other (specify) \_\_\_\_\_

Data/LAN, including Intranet

Speed

- ☐ 10 Mbps or less
- ☐ greater than 10 Mbps

Number of LANs

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Number of Nodes per LAN

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

Number of Facilities/Buildings

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other Features

- ☐ Other (specify) \_\_\_\_\_

Video

Speed

- ☐ less than 56 kbps
- ☐ 56-less than 400 kbps
- ☐ 400-less than 1.6 Mbps
- ☐ 1.6-10 Mbps
- ☐ greater than 10 Mbps

Number of Nodes

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

Number of networks

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other features

- ☐ Dedicated
- ☐ Switched
- ☐ Other (specify) \_\_\_\_\_

Transmission Method for Internal Connection(s) (check all that apply)

- ☐ wireline
- ☐ wireless

External connections

Voice

- ☐ Basic telephone: incoming \_\_\_\_  
outgoing \_\_\_\_  
extension paths \_\_\_\_
- ☐ Usage
- ☐ Toll
- ☐ Custom features
- ☐ Paging
- ☐ Voice mail
- ☐ Other (specify) \_\_\_\_\_

Data

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Other Features

- ☐ Dedicated
- ☐ Switched
- ☐ Other (specify) \_\_\_\_\_

Number of locations

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Video

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Number of locations

- ☐ 1-2
- ☐ 3-5
- ☐ 6-10
- ☐ 11-20
- ☐ greater than 20

Other Features

- ☐ Dedicated
- ☐ Full motion
- ☐ Switched
- ☐ Compressed rate \_\_\_\_\_

Transmission Method for External Connection(s) (check all that apply)

- ☐ wireline
- ☐ wireless

Internet Services

Speed

- ☐ less than 56 kbs
- ☐ 56-400 kbs
- ☐ 400-1.6 Mbs
- ☐ 1.6-10 Mbs
- ☐ Other (specify) \_\_\_\_\_

Number of students (potential e-mail addresses)

- ☐ 1-20
- ☐ 21-50
- ☐ 51-100
- ☐ 101-250
- ☐ 251-500
- ☐ greater than 500

10. Service Provider

a. Name \_\_\_\_\_

b. Control Number \_\_\_\_\_

11. Date Contract Signed \_\_\_\_/\_\_\_\_/\_\_\_\_

12. Contract Price

a. Single payment \_\_\_\_\_

b. Estimated recurring payments in current fund year \_\_\_\_\_

c. Estimated recurring payments in next fund year \_\_\_\_\_

**BLOCK 3: CERTIFICATION, SIGNATURE AND SEAL OF NOTARY PUBLIC**

I certify that I am authorized to submit this request on behalf of the above-named requester, that I have examined this request and to the best of my knowledge, information and belief, all statements of fact contained herein are true. I am aware that persons making willful false statements on this form can be punished by fine or imprisonment under Title 18 of the United States Code, 18 USC §1001.

\_\_\_\_\_  
Signature

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date

\_\_\_\_\_  
Printed name of authorized person

\_\_\_\_\_  
Title or position of authorized person

Seal of notary public

\_\_\_\_/\_\_\_\_/\_\_\_\_  
Date Commission Expires

# Schools & Libraries Universal Service Notification of Service

FCC Form III

## BLOCK 1: REQUESTER/NOTIFIER INFORMATION

1. Name of Requester/Notifier

\_\_\_\_\_

2. Requester Control Number

3. Funding Request Control Number

\_\_\_\_\_

3. Contact Person's Name (if different from funding request)

\_\_\_\_\_

Mailing Address

\_\_\_\_\_

City

State

Zip Code

Telephone Number

Fax Number

E-Mail Address

## BLOCK 2: COMMENCEMENT OF SERVICE

4. Date Service Commenced: \_\_\_\_/\_\_\_\_/\_\_\_\_

5. Service is/will be provided on

☐

ongoing basis

☐

provided in full